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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. H. WALLMAN
Serial Number : 10/627,646
Filed : July 28, 2003
For : METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR
: SMALLER INVESTORS OR OTHERS TO CREATE AND
: MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR
: LIABILITIES ON A COST EFFECTIVE BASIS
Art Unit : 3609
Examiner : Hao Fu
Mail Stop: Amendment
Commissioner for Patents
Post Office Box 1450
Alexandria, VA 22313

STATEMENT OF SUBSTANCE OF INTERVIEW

Sir:

Applicant thanks Examiner Fu and Supervising Examiner Dixon for the courtesies extended at the telephonic interviews with Applicant's representatives on October 28, 2008, and provide this Statement of Substance of Interview in compliance with M.P.E.P. 713.04:

- (A) Exhibits. No exhibit / demonstration was shown / conducted.
- (B) Claims. The pending claims were discussed.
- (C) Prior art. There was a discussion of the cited prior art references.
- (D) Amendments. The possibility of potential amendments to the claims was briefly discussed.
- (E) Principal arguments by Applicant. The pending claims are in condition for allowance, for the reasons set forth in the response to the office action filed on October 28, 2008.
- (F) Other matters. Not applicable.

(G) Agreement. N agreement on allowance of the pending claims was reached.

Although not believed necessary, the Office is hereby authorized to charge any additional fees required under 37 C.F.R. § 1.16 or § 1.17 or credit any overpayments to Deposit Account No. 11-0600.

The Examiner is invited to contact the undersigned at 202-220-4200 to discuss any matter regarding this application.

Respectfully submitted,

KENYON & KENYON LLP

Date: October 28, 2008

/Brian S. Mudge/
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